

FORM PTO-1390 (REV02-2005)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET #: 5367-239PUS	
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371				U.S. APPLICATION NO. (If known, see 37 CFR 1.5)	
				10/579528	
INTERNATIONAL APPLICATION NO. PCT/DE2004/002477		INTERNATIONAL FILING DATE 9 November 2004		PRIORITY DATE CLAIMED 13 November 2003	
TITLE OF INVENTION VCSEL Pumped in a Monolithically Optical Manner and Comprising a Laterally Applied Edge Emitter					
APPLICANT(S) FOR DO/EO/US Tony ALBRECHT; Peter BRICK; Stephan LUTGEN					
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:					
<ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371</li> <li>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</li> <li>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</li> </ol> </li> <li>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> <p><b>Items 11. to 20. Below concern other document(s) or information included:</b></p> <ol style="list-style-type: none"> <li>11. <input checked="" type="checkbox"/> Two Information Disclosure Statements under 37 CFR 1.97 and 1.98.</li> <li>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13. <input checked="" type="checkbox"/> A preliminary amendment.</li> <li>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</li> <li>15. <input type="checkbox"/> A substitute specification.</li> <li>16. <input type="checkbox"/> A power of attorney and/or address letter.</li> <li>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13<sup>ter</sup>.2 and 37 CFR 1.821-1.825</li> <li>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</li> <li>19. <input type="checkbox"/> A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).</li> <li>20. <input checked="" type="checkbox"/> Other items or information: (<i>specify</i>): PCT/IB/308 (First Notice and Second and Supplementary Notice), Cover page of published PCT application, Int'l Preliminary Examination Report, Int'l Search Report, Request for Publication of Assignment Information</li> </ol>					

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) <b>10/519528</b>		INTERNATIONAL APPLICATION NO. <b>PCT/DE2004/002477</b>		ATTORNEY'S DOCKET NUMBER <b>5367-239PUS</b>	
The following fees are submitted:					
22. <input checked="" type="checkbox"/> <b>Basic National Fee (37 CFR 1.492(a)(1)-(5))</b>		<b>\$300</b>	<b>\$</b>	<b>300</b>	
<input checked="" type="checkbox"/> <b>Examination Fee</b>			<b>\$</b>	<b>200</b>	
If International preliminary examination report is prepared by USPTO and all claims satisfy the provisions of PCT article 33(1)-(4)		<b>\$0</b>			
All other situations		<b>\$200</b>			
23. <input checked="" type="checkbox"/> <b>Search Fee</b>			<b>\$</b>	<b>400</b>	
If International preliminary examination report is prepared by USPTO and all claims satisfy the provisions of PCT article 33(1)-(4)		<b>\$0</b>			
Search fee (37 CFR 1.445(a)(2)) has been paid on the International application to the USPTO as an International Searching Authority		<b>\$100</b>			
International Search Report prepared and provided to the Office or previously provided to the office		<b>\$400</b>			
All other situations		<b>\$500</b>			
<b>ENTER APPROPRIATE BASIC FEE AMOUNT (total of 21, 22 and 23) =</b>				<b>\$</b>	
<input type="checkbox"/> Application Fee for specification and drawing filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of additional 50 or fraction thereof (round up to a whole number)	RATE		
-100 =	/50 =		x \$250	<b>\$</b>	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)).				<b>\$</b>	
Claims	Number Filed	Number Extra	RATE		
Total Claims	19 - 20 =	0	x \$ 50.00	<b>\$</b>	
Independent Claims	1 - 3 =	0	x \$200.00	<b>\$</b>	
Multiple dependent claim(s) (if applicable)			+ \$360.00	<b>\$</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$</b>	<b>900</b>
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.				<b>\$</b>	
<b>SUBTOTAL =</b>				<b>\$</b>	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				<b>\$</b>	
<b>TOTAL NATIONAL FEE =</b>				<b>\$</b>	<b>900</b>
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by the appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				<b>\$</b>	
<b>TOTAL FEES ENCLOSED</b>					<b>\$900</b>
<b>Amount to be refunded:</b>				<b>\$</b>	
<b>Amount to be charged:</b>				<b>\$</b>	
<p>a. <input checked="" type="checkbox"/> A check in the amount of <b>\$900</b> to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. <u>03-2412</u> in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>03-2412</u>. A duplicate copy of this sheet is enclosed.</p>					
<p><b>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b></p>					
<p>SEND ALL CORRESPONDENCE TO:  <u>Thomas Langer</u>  Cohen, Pontani, Lieberman &amp; Pavane  551 Fifth Avenue, Suite 1210  New York, New York 10176</p>			<p><u>Thomas Langer</u>  Registration Number: <u>27,264</u> May 15, 2006  Tel: (212) 687-2770</p>		